

## PIMCO Funds

## CLASS A AND CLASS C SHARES

**Contact Information:**

Phone: 800.426.0107  
Website: pimco.com

**Direct Mail:**

PIMCO Funds  
P.O. Box 219294  
Kansas City, MO 64121

**Overnight Mail:**

PIMCO Funds  
801 Pennsylvania Avenue, Ste 219294  
Kansas City, MO 64105-1307

Use this form if you are looking to establish a PIMCO inherited IRA/Roth IRA or take a distribution from a PIMCO inherited IRA/Roth IRA.

**1. Account Registration**

Beneficiary or Claimant Registration Name \_\_\_\_\_

Date of Birth \_\_\_\_\_

Email \_\_\_\_\_

Daytime Telephone Number (\_\_\_\_\_) \_\_\_\_\_

Address \_\_\_\_\_

City \_\_\_\_\_ State \_\_\_\_\_ ZIP Code \_\_\_\_\_

Deceased Shareholder Account Number \_\_\_\_\_

Type of IRA: ☐ Inherited IRA ☐ Inherited Roth IRA

**If this is a new account, you must also complete the PIMCO IRA or Roth IRA account application**

## 2. Identify Beneficiary Relationship

Please provide decedent account owner(s) information and then select one beneficiary type. We suggest that you consult your tax advisor to determine the beneficiary relationship.

**Please provide decedent account owner(s) information below:**

### Inheriting Directly from the Original Owner

Provide original owner's name, date of birth and date of death:

Name	Date of Birth	Date of Death
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### Inheriting from a Beneficiary (not the Original Owner)

Add all previous owners of this Decedent IRA account:

Name	Date of Birth	Date of Death
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Name	Date of Birth	Date of Death
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**Select one beneficiary type below\*:**

☐ **A. First Generation Non-Designated Beneficiary**  
(1st Gen NDB)

*Select this option if the inherited IRA is being transferred to an entity beneficiary (estate, charity, trust)*

☐ **B. First Generation Eligible Designated Sole Spouse Beneficiary** (1st Gen EDB-Sole Spouse)

*Select this option if you are a sole spouse and you are not electing to treat as your own IRA. If you are treating the IRA as your own, skip this section and see Installment Distribution/RMD Section below.*

☐ **C. First Generation Eligible Designated Minor Beneficiary of Deceased Owner** (1st Gen EDB-Minor)

*Select this option if the inherited IRA is for a minor (under the age of 18) who is a direct descendant (son or daughter) of the deceased shareholder.*

☐ **D. First Generation Eligible Designated Beneficiary – Other** (1st Gen EDB)

*Select this option if you are eligible for Life Expectancy payments (beneficiary is chronically ill, disabled, or less than 10 years younger than original account owner.)*

☐ **E. First Generation Designated Beneficiary** (1st Gen DB)

*Select this option if you are not eligible for Life Expectancy (sibling of deceased, grandchild of deceased, child over the age of 18.)*

☐ **F. Succeeding Generation Beneficiary when First Generation was Eligible Designated Sole Spouse Beneficiary** (2nd or > Gen EDB-Sole Spouse)

*Select this option if you are a second generation or greater beneficiary where first generation beneficiary was an Eligible Designated Sole Spouse.*

☐ **G. Succeeding Generation Beneficiary when First generation was Eligible Designated Minor of Deceased Owner** (2nd or > Gen EDB-Minor)

*Select this option if you are a second generation or greater beneficiary when the first generation beneficiary was a minor child (under the age of 18) of the original account owner.*

☐ **H. Succeeding Generation Beneficiary when First Generation was Eligible Designated Beneficiary – Other** (2nd or > Gen EDB-Other)

*Select this option if you are a second generation or greater beneficiary when the first generation beneficiary was eligible for Life Expectancy payments and was not the sole spouse or minor direct decedent of the original account owner.*

☐ **I. Succeeding Generation Beneficiary when First Generation was a Designated Beneficiary** (2nd or > Gen DB)

*Select this option if you are a second generation or greater beneficiary when the first generation beneficiary was a designated beneficiary who was not eligible for Life Expectancy payments.*

*\*If you are inheriting this account from a beneficiary and not the original account owner, be sure to select a succeeding generation beneficiary type (F-I).*

### 3. Installment Distributions/Required Minimum Distribution

Select installment instructions based on the beneficiary type selected on previous page.

#### **Spouse Beneficiary Options** *(complete if you selected beneficiary types B or F in previous section)*

##### **Election to Treat Decedent IRA as Your Own**

Only available for sole spouse beneficiaries

- ☐ Transfer decedent IRA into my existing PIMCO IRA.

Fund/Account \_\_\_\_\_

- ☐ Transfer decedent IRA into a PIMCO Inherited IRA account registered in my name. *(Complete Traditional IRA Application for this option too.)*

##### **Life Expectancy Payment**

- ☐ Pay the total account balance over the applicable life expectancy beginning on \_\_\_\_\_  
MM/DD/YYYY

*(May be no later than December 31st of the calendar year immediately following the year in which the IRA owner died.)*

**Note: Life expectancy payments will be calculated using the birth date of the beneficiary. If the original account owner died prior to January 1, 2020, you can elect to have life expectancy calculated on the decedent account owner's date of birth or the beneficiary's date of birth.**

##### **Request a Distribution**

- ☐ Establish systematic distribution of \$ \_\_\_\_\_ over a period of \_\_\_\_\_ months/years.
- ☐ One-time distribution of \$ \_\_\_\_\_
- ☐ Redeem the total balance in a single payment.

**If decedent IRA account owner was over the Required Minimum Distribution Age:** Transfer restriction applies for decedent owners that were over the Required Minimum Distribution age.\* (Not applicable for Roth IRAs.) Any unpaid Required Minimum Distribution (RMD) amounts for the year of death cannot be transferred to your Inherited IRA account. \*\* These amounts must be paid to you. Check and complete if applicable.

- ☐ Distribute the amount of the remaining RMD in a single payment.
- ☐ PIMCO was calculating the RMD amount.
- ☐ Please distribute \$ \_\_\_\_\_ to satisfy the remaining RMD.

#### **Non-Designated (Entity) Beneficiary Options** *(complete if you selected beneficiary type A in previous section)*

If the non-spouse beneficiary is an entity (i.e., the estate, a charity or a non-qualified trust) the only option for beneficiaries of inherited IRA accounts where the owner died before Required Minimum Distribution age is to distribute the full balance by the end of the fifth calendar year following the year of the decedent IRA owner's death.\*

##### **Request a Distribution**

- ☐ Establish systematic distribution of \$ \_\_\_\_\_ over a period of 5 years.
- ☐ One-time distribution of \$ \_\_\_\_\_ .
- ☐ Redeem the total balance in a single payment.
- ☐ Request a distribution in the future.

### 3. Installment Distributions/Required Minimum Distribution (continued)

#### **Eligible Designated (Non-Spouse) Beneficiary Options** (complete if you selected beneficiary type C or D in previous section)

"Eligible designated beneficiaries" may receive RMDs calculated with reference to his or her life expectancy. An "eligible designated beneficiary" is a minor child (upon such child attaining the age of majority any remaining assets must be distributed no later than the end of the tenth calendar year after the calendar year in which the child reaches the age of 18), disabled individual, chronically ill individual, individual who is less than 10 years younger than the decedent, and spouse (spouse has own beneficiary options) of the decedent.

#### **Life Expectancy Payment**

- ☐ Pay the total account balance over the applicable life expectancy beginning on \_\_\_\_\_  
MM/DD/YYYY

#### **Request a Distribution**

- ☐ Establish systematic distribution of \$ \_\_\_\_\_ to begin on \_\_\_\_\_  
MM/DD/YYYY
- ☐ One-time distribution of \$ \_\_\_\_\_
- ☐ Redeem the total balance in a single payment.
- ☐ Request a distribution in the future

#### **Designated Beneficiary Options** (complete if you selected beneficiary type E, G, H, or I in previous section)

As a general rule, for an IRA owner who died on or after January 1, 2020 the assets in the traditional, SIMPLE, SEP, SARSEP or Roth IRA must be distributed to the designated beneficiary by the end of the tenth calendar year following the year of the decedent's death.

- ☐ Establish systematic distribution of \$ \_\_\_\_\_ over a period of 10 years.
- ☐ One-time distribution of \$ \_\_\_\_\_.
- ☐ Redeem the total balance in a single payment.
- ☐ Request a distribution in the future.

\* Required Minimum Distribution age is 70½ if the account owner's date of birth was on or before June 30, 1949. Required Minimum Distribution age is 72 if the account owner's date of birth was after June 30, 1949.

\*\*Under the CARES Act, RMDs are waived for calendar year 2020.

### 4. Allocation of Distribution

Select ONE allocation of distribution option below. The distribution amount elected above in Section 3 will be taken using the distribution option below. **Failure to check one will result in an automatic Pro Rata election.**

- ☐ **Percentage:** Equal percentage to be taken from each fund.
- ☐ **Pro Rata:** Amount to be taken based on percentage value of each fund in the account. (If you elected Required Minimum Distribution in Section 3, the percentage of value will be based on the December 31 balances of the prior year.)
- ☐ **Specific Election:** Amount to be taken based on the specific instruction provided in the table below.

Fund(s) and Account Numbers	\$ Amount or % From Each Account
1.	
2.	
3.	
4.	
Total Amount	

## 5. Method of Payment

### A. Check ONE payment method below:

- ☐ Send by check to account registration address. (If you want the check sent via overnight mail, complete Section 5B below)
- ☐ Send to my bank account via electronic transfer. (Please complete Section 7 if establishing or changing banking instructions)
- ☐ Send by check to an alternate address listed below - a Medallion Signature Guarantee is required in Section 8. (If you want the check sent via overnight mail, complete Section 5B below)

Address \_\_\_\_\_

City \_\_\_\_\_ State \_\_\_\_\_ ZIP Code \_\_\_\_\_

☐ Transfer to existing account number\* (Fund/Account Number): \_\_\_\_\_

☐ Transfer to new account in fund\*: \_\_\_\_\_  
(Provide the appropriate Account Application)

### B. Overnight Delivery - Optional (only available for one-time distributions):

I elect to have my check sent via overnight delivery (a \$10 fee will be assessed) ☐ Yes ☐ No

If yes, I would like the \$10 fee deducted from: \_\_\_\_\_  
(Fund/Account Number)

Note: If no fund is indicated for the fee deduction, the \$10 charge will be taken from the highest fund balance in the account listed in Section 1.

## 6. Tax Withholding

### Federal Tax Withholding

I understand that 10% of my distribution will be withheld for federal income tax unless I make a different election below. No tax will be withheld from a qualified distribution from a Roth IRA absent a specific instruction to withhold. Please be aware the IRS may impose a penalty for under-withholding.

- ☐ I elect NOT to have federal income tax withheld\*.
- ☐ I elect to withhold federal income tax at the following percentage \_\_\_\_\_ % (whole percentage only)\*.

\* In order to withhold an amount other than the default amount, you must indicate the intended withholding percentage on line 2 of the IRS W-4R Form (indicate 0 if you elect not to withhold), located at the end of this form, and return it with this distribution request. **You must provide an updated Form W-4R with each distribution where you wish to deviate from the default withholding percentage unless you have elected to establish a periodic distribution plan in section 3 of this form.**

**Note:** You may elect 0-100% for IRA distributions being delivered within the United States and its territories, 20-100% for eligible rollover distributions, and 10-100% if your IRA distribution is being delivered outside of the United States and its territories or if a shareholder's SSN is incorrect or missing from the account.

### Voluntary State Tax Withholding

If your state has Voluntary State Tax Withholding, check one of the following boxes indicating whether you wish to have state income taxes withheld. State tax withholding may apply if you do not check a box below. Also, some states do not offer state tax withholding. Refer to the instructions for specific information concerning your state.

- ☐ I elect NOT to have state income tax withheld.
- ☐ I elect to withhold state income tax at the following dollar amount \$ \_\_\_\_\_ (a dollar amount must be provided for systematic withdrawals) or percentage \_\_\_\_\_ % (whole percentage only)

## Withholding Notice

**Note:** You are urged to discuss distributions from a Roth IRA with your tax advisor before making a withholding election. Many Roth IRA distributions are partially or wholly nontaxable.

**Note:** You may be subject to a CDSC. Please see the prospectus to determine if you are.

I have reviewed the above "Withholding Notice." I understand that all future distributions will be subject to the default withholding rate unless accompanied by an IRS Form W-4R. If a Contingent Deferred Sales Charge (CDSC) applies, it will be charged to the account before the distribution is taken out and before tax withholding is applied to the distribution.

## State Tax Withholding

If federal income tax withholding is applied to your distribution, your state may also require state income taxes to be withheld. Laws regarding tax withholding are subject to change at any time without notice. Please see your tax advisor for additional information.

Depending on your state of residency, the following rules apply:

If your state of residence has:	Your options for state tax withholding are:
Mandatory State Withholding	If you elect federal tax withholding, state tax withholding will be applied, and will be calculated based on your state's applicable minimum requirements. You may also elect a specific percentage, however, your requested amount must be equal or greater than your state's minimum withholding requirement, otherwise we will apply your state's applicable minimum withholding requirement.
Non-Participatory State Withholding	You may not elect state tax withholding. State tax withholding is not available even if your state has income taxes.
Voluntary State Withholding	You may elect voluntary state income tax withholding. You must provide a specific percentage to be applied for state tax withholding.

Regardless of whether you elect to have federal, and if applicable, state tax withholding apply, you are liable for the payment of federal income tax, any state or local taxes, and any penalties which may apply to your distribution. You also may be subject to tax penalties under the estimated tax payment rules if your estimated tax payments and withholding are not adequate. IRS Publication 505 should be reviewed, especially by new retirees.

## 7. Bank Account Information

(Medallion Signature Guarantee Required in Section 8)

Please provide your bank account information below to change or establish banking instructions. **In completing this section, I acknowledge that this information will be used for all new or existing account options and will supersede any previous banking instructions, unless otherwise noted.**

### Type of Account (Select one):

- ☐ Checking Account (Please attach a pre-printed voided check.\*)
- ☐ Savings Account (Please attach a voided deposit slip.\*)

Bank Account Registration

Bank Name

Bank Routing Number

Bank Account Number

Tape your voided check or deposit slip here.\*

John A. Sample  
123 Same Street  
Anywhere, USA 12345

0000

Date \_\_\_\_\_

Pay to the Order of: \_\_\_\_\_ \$ \_\_\_\_\_ DOLLARS

ANY BANK USA

Memo: \_\_\_\_\_

|: 000000000 |: 000000000 || 0000

**VOID**

### Signature of Bank Account Owner(s) (Required):

Signature X \_\_\_\_\_ Date \_\_\_\_\_

Signature X \_\_\_\_\_ Date \_\_\_\_\_

(If multiple account owners, all must sign.)

\* Alternatively, PIMCO Funds will accept a letter on bank letterhead, signed by a bank employee confirming the bank account type, registration, account number and routing number.

## 8. Signature(s) and Certification

I certify under penalty of perjury that I have not been notified by the Internal Revenue Service that I am subject to backup withholding. If a nonresident alien: I certify that I am not a U.S. citizen, and (1) do not expect to be in the U.S. for 183 days each calendar year and I will not conduct business in the U.S. which would receive any gains from the fund, or (2) I am exempt under an income tax treaty. (You must attach a Form 1001 (Reduced Rate Certificate) if you are a non-resident alien.)

I certify that I have read and completed the instructions on this form and that I have consulted with my tax advisor, or that I otherwise fully understand the tax and other legal consequences of this request for distributions from the PIMCO Funds IRA(s) listed in Section 1 of this form. I understand that I am responsible for knowing whether this distribution complies with applicable tax laws; and that I am responsible for reporting and paying all applicable taxes on this distribution or distributions; and that if this distribution constitutes a "premature" distribution, I am aware of the applicable tax requirements and penalties. I also certify that if I have requested a transfer of shares of a PIMCO Funds account to my name, I am of legal age and capacity to own such shares. I understand that neither the IRA Custodian, SS&C Global Investor & Distribution Solutions, Inc., or PIMCO Funds and their affiliated persons and service providers have provided, or are responsible to provide, tax or legal advice to me in connection with this request. I understand and agree that neither the Custodian, SS&C Global Investor & Distribution Solutions, Inc., nor PIMCO Funds and their affiliated persons and service providers shall be responsible for any tax due on account of this distribution(s) (including distributions based on life expectancy or required minimum distributions calculated using information I provided) or for any tax or other penalties I may pay or incur as a result of this request of any distribution(s) from this IRA. I have been advised of the distribution, termination and maintenance fees that apply to PIMCO Funds IRAs and agree to pay all applicable fees.

Signature of Account Owner or Beneficiary (if applicable) X \_\_\_\_\_ Date \_\_\_\_\_

## 9. Signature Validation (if applicable)

A Medallion Signature Guarantee must be provided on all requests for distributions that are to be mailed to an address other than the address of record, sent to a bank that is not listed on the account, if you are a beneficiary taking an initial death distribution, or if the registration mailing address has been changed within the past 30 days.

### Medallion Signature Guarantee:

### By:

Name of Guarantor \_\_\_\_\_

Title of Guarantor \_\_\_\_\_

Signature of Guarantor X \_\_\_\_\_ Date \_\_\_\_\_



<b>1a</b> First name and middle initial	Last name	<b>1b</b> Social security number
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Address

City or town, state, and ZIP code

Your withholding rate is determined by the type of payment you will receive.

- For nonperiodic payments, the default withholding rate is 10%. You can choose to have a different rate by entering a rate between 0% and 100% on line 2. Generally, you can't choose less than 10% for payments to be delivered outside the United States and its territories.
- For an eligible rollover distribution, the default withholding rate is 20%. You can choose a rate greater than 20% by entering the rate on line 2. You may not choose a rate less than 20%.

See page 2 for more information.

<b>2</b> Complete this line if you would like a rate of withholding that is different from the default withholding rate. See the instructions on page 2 and the Marginal Rate Tables below for additional information. Enter the rate as a whole number (no decimals)	<b>2</b>	%
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<b>Sign Here</b>	<b>Your signature</b> (This form is not valid unless you sign it.)	<b>Date</b>
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## General Instructions

Section references are to the Internal Revenue Code.

**Future developments.** For the latest information about any future developments related to Form W-4R, such as legislation enacted after it was published, go to [www.irs.gov/FormW4R](http://www.irs.gov/FormW4R).

**Purpose of form.** Complete Form W-4R to have payers withhold the correct amount of federal income tax from your nonperiodic payment or eligible rollover distribution from an employer retirement plan, annuity (including a commercial annuity), or individual retirement arrangement (IRA). See page 2 for the rules and options that are available for each type of payment. Don't use Form W-4R for periodic payments (payments made in installments at regular

intervals over a period of more than 1 year) from these plans or arrangements. Instead, use Form W-4P, Withholding Certificate for Periodic Pension or Annuity Payments. For more information on withholding, see Pub. 505, Tax Withholding and Estimated Tax.

**Caution:** If you have too little tax withheld, you will generally owe tax when you file your tax return and may owe a penalty unless you make timely payments of estimated tax. If too much tax is withheld, you will generally be due a refund when you file your tax return. Your withholding choice (or an election not to have withholding on a nonperiodic payment) will generally apply to any future payment from the same plan or IRA. Submit a new Form W-4R if you want to change your election.

## 2025 Marginal Rate Tables

You may use these tables to help you select the appropriate withholding rate for this payment or distribution. Add your income from all sources and use the column that matches your filing status to find the corresponding rate of withholding. See page 2 for more information on how to use this table.

Single or Married filing separately		Married filing jointly or Qualifying surviving spouse		Head of household	
Total income over—	Tax rate for every dollar more	Total income over—	Tax rate for every dollar more	Total income over—	Tax rate for every dollar more
\$0	0%	\$0	0%	\$0	0%
15,000	10%	30,000	10%	22,500	10%
26,925	12%	53,850	12%	39,500	12%
63,475	22%	126,950	22%	87,350	22%
118,350	24%	236,700	24%	125,850	24%
212,300	32%	424,600	32%	219,800	32%
265,525	35%	531,050	35%	273,000	35%
641,350*	37%	781,600	37%	648,850	37%

\* If married filing separately, use \$390,800 instead for this 37% rate.

## General Instructions (*continued*)

**Nonperiodic payments—10% withholding.** Your payer must withhold at a default 10% rate from the taxable amount of nonperiodic payments **unless** you enter a different rate on line 2. Distributions from an IRA that are payable on demand are treated as nonperiodic payments. Note that the default rate of withholding may not be appropriate for your tax situation. You may choose to have no federal income tax withheld by entering “-0-” on line 2. See the specific instructions below for more information. Generally, you are not permitted to elect to have federal income tax withheld at a rate of less than 10% (including “-0-”) on any payments to be delivered outside the United States and its territories.

**Note:** If you don't give Form W-4R to your payer, you don't provide an SSN, or the IRS notifies the payer that you gave an incorrect SSN, then the payer must withhold 10% of the payment for federal income tax and can't honor requests to have a lower (or no) amount withheld. Generally, for payments that began before 2025, your current withholding election (or your default rate) remains in effect unless you submit a Form W-4R.

**Eligible rollover distributions—20% withholding.** Distributions you receive from qualified retirement plans (for example, 401(k) plans and section 457(b) plans maintained by a governmental employer) or tax-sheltered annuities that are eligible to be rolled over to an IRA or qualified plan are subject to a 20% default rate of withholding on the taxable amount of the distribution. You can't choose withholding at a rate of less than 20% (including “-0-”). Note that the default rate of withholding may be too low for your tax situation. You may choose to enter a rate higher than 20% on line 2. Don't give Form W-4R to your payer unless you want more than 20% withheld.

Note that the following payments are **not** eligible rollover distributions for purposes of these withholding rules:

- Qualifying “hardship” distributions;
- Distributions required by federal law, such as required minimum distributions;
- Distributions from a pension-linked emergency savings account;
- Eligible distributions to a domestic abuse victim;
- Qualified disaster recovery distributions;
- Qualified birth or adoption distributions; and
- Emergency personal expense distributions.

See Pub. 505 for details. See also *Nonperiodic payments—10% withholding* above.

**Payments to nonresident aliens and foreign estates.** Do not use Form W-4R. See Pub. 515, Withholding of Tax on Nonresident Aliens and Foreign Entities, and Pub. 519, U.S. Tax Guide for Aliens, for more information.

**Tax relief for victims of terrorist attacks.** If your disability payments for injuries incurred as a direct result of a terrorist attack are not taxable, enter “-0-” on line 2. See Pub. 3920, Tax Relief for Victims of Terrorist Attacks, for more details.

## Specific Instructions

### Line 1b

For an estate, enter the estate's employer identification number (EIN) in the area reserved for “Social security number.”

### Line 2

**More withholding.** If you want more than the default rate withheld from your payment, you may enter a higher rate on line 2.

**Less withholding (nonperiodic payments only).** If permitted, you may enter a lower rate on line 2 (including “-0-”) if you want less than the 10% default rate withheld from your payment. If you have already paid, or plan to pay, your tax on this payment through other withholding or estimated tax payments, you may want to enter “-0-”.

**Suggestion for determining withholding.** Consider using the Marginal Rate Tables on page 1 to help you select the appropriate withholding rate for this payment or distribution. The tables are most accurate if the appropriate amount of tax on all other sources of income, deductions, and credits has been paid through other withholding or estimated tax payments. If the appropriate amount of tax on those sources of income has not been paid through other withholding or estimated tax payments, you can pay that tax through withholding on this payment by entering a rate that is greater than the rate in the Marginal Rate Tables.

The marginal tax rate is the rate of tax on each additional dollar of income you receive above a particular amount of income. You can use the table for your filing status as a guide to find a rate of withholding for amounts above the total income level in the table.

To determine the appropriate rate of withholding from the table, do the following. Step 1: Find the rate that corresponds with your total income not including the payment. Step 2: Add your total income and the taxable amount of the payment and find the corresponding rate.

If these two rates are the same, enter that rate on line 2. (See *Example 1* below.)

If the two rates differ, multiply (a) the amount in the lower rate bracket by the rate for that bracket, and (b) the amount in the higher rate bracket by the rate for that bracket. Add these two numbers; this is the expected tax for this payment. To get the rate to have withheld, divide this amount by the taxable amount of the payment. Round up to the next whole number and enter that rate on line 2. (See *Example 2* below.)

If you prefer a simpler approach (but one that may lead to overwithholding), find the rate that corresponds to your total income including the payment and enter that rate on line 2.

**Examples.** Assume the following facts for *Examples 1* and *2*. Your filing status is single. You expect the taxable amount of your payment to be \$20,000. Appropriate amounts have been withheld for all other sources of income and any deductions or credits.

**Example 1.** You expect your total income to be \$65,000 without the payment. Step 1: Because your total income without the payment, \$65,000, is greater than \$63,475 but less than \$118,350, the corresponding rate is 22%. Step 2: Because your total income with the payment, \$85,000, is greater than \$63,475 but less than \$118,350, the corresponding rate is 22%. Because these two rates are the same, enter “22” on line 2.

**Example 2.** You expect your total income to be \$61,000 without the payment. Step 1: Because your total income without the payment, \$61,000, is greater than \$26,925 but less than \$63,475, the corresponding rate is 12%. Step 2: Because your total income with the payment, \$81,000, is

greater than \$63,475 but less than \$118,350, the corresponding rate is 22%. The two rates differ. \$2,475 of the \$20,000 payment is in the lower bracket (\$63,475 less your total income of \$61,000 without the payment), and \$17,525 is in the higher bracket (\$20,000 less the \$2,475 that is in the lower bracket). Multiply \$2,475 by 12% to get \$297. Multiply \$17,525 by 22% to get \$3,856. The sum of these two amounts is \$4,153. This is the estimated tax on your payment. This amount corresponds to 21% of the \$20,000 payment (\$4,153 divided by \$20,000). Enter "21" on line 2.

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**Privacy Act and Paperwork Reduction Act Notice.** We ask for the information on this form to carry out the Internal Revenue laws of the United States. You are required to provide this information only if you want to (a) request additional federal income tax withholding from your nonperiodic payment(s) or eligible rollover distribution(s); (b) choose not to have federal income tax withheld from your nonperiodic payment(s), when permitted; or (c) change a previous Form W-4R (or a previous Form W-4P that you completed with respect to your nonperiodic payments or eligible rollover distributions). To do any of the aforementioned, you are required by sections 3405(e) and 6109 and their regulations to provide the information requested on this form. Failure to provide this information may result in inaccurate withholding on your payment(s).

Failure to provide a properly completed form will result in your payment(s) being subject to the default rate; providing fraudulent information may subject you to penalties.

Routine uses of this information include giving it to the Department of Justice for civil and criminal litigation, and to cities, states, the District of Columbia, and U.S. commonwealths and territories for use in administering their tax laws. We may also disclose this information to other countries under a tax treaty, to federal and state agencies to enforce federal nontax criminal laws, or to federal law enforcement and intelligence agencies to combat terrorism.

You are not required to provide the information requested on a form that is subject to the Paperwork Reduction Act unless the form displays a valid OMB control number. Books or records relating to a form or its instructions must be retained as long as their contents may become material in the administration of any Internal Revenue law. Generally, tax returns and return information are confidential, as required by section 6103.

The average time and expenses required to complete and file this form will vary depending on individual circumstances. For estimated averages, see the instructions for your income tax return.

If you have suggestions for making this form simpler, we would be happy to hear from you. See the instructions for your income tax return.

PIMCO Funds  
PIMCO Variable Insurance Trust ("PVIT")  
PIMCO ETF Trust  
PIMCO Equity Series ("PES")  
PIMCO Equity Series VIT ("PESVIT")  
PIMCO Managed Accounts Trust  
PIMCO Sponsored Closed-End Funds  
PIMCO Sponsored Interval Funds  
PIMCO Capital Solutions BDC Corp.<sup>1</sup>  
PIMCO Investments LLC <sup>2</sup>

## Funds Privacy Notice for California Resident Representatives of Institutional Shareholders<sup>3</sup>

### Introduction

The purpose of this Privacy Notice for California Residents ("California Privacy Notice") is to provide certain individuals who reside in California and are representatives of our institutional shareholders with information regarding our collection and use of their personal information (as defined below), in accordance with the California Consumer Privacy Act of 2018, as amended (the "CCPA"). This California Privacy Notice is intended to apply to personal information we collect through our account applications as well as other sources, as described below. It does not apply to personal information collected through our website, which is described here: <https://www.pimco.com/en-us/general/legal-pages/privacy-policy#online-privacy-notice>.

The CCPA may not be applicable to every individual receiving this notice. For example, the CCPA contains certain exceptions, including an exception for personal information that is collected, processed, sold or disclosed subject to the federal Gramm Leach Bliley Act ("GLBA") and implementing regulations, and so the privacy rights set out herein may not apply to you or to all of your personal information.

### Personal Information

By "personal information" we mean information that identifies, relates to, describes, is reasonably capable of being associated with, or could reasonably be linked, directly or indirectly, with a particular individual natural person who is a California resident, which includes "personal information" and "sensitive personal information" as such terms are defined in the CCPA. For institutional shareholder, this includes information of individuals connected with you as a shareholder, who act on your behalf, or represent you as an authorized person (for example, individual directors, shareholders, beneficial owners, authorized signatories, trustees, employees, representatives, consultants, intermediaries or agents).

### Personal Information We May Collect From or About You

- (i) Identifiers such as your name, residential and/or business address, mailing address, email address, business contact information, driver's license, tax identification number, social security (or national insurance or similar) number, passport number and other government identification information and/or numbers.
- (ii) Categories of personal information listed in the California Customer Records statute (Cal. Civ. Code 1798.80(e)) that may include social security number, physical characteristics or description, address, telephone number, [passport number, driver's license or state identification card number.
- (iii) Commercial information, including records of products or services purchased, obtained or considered, or other purchasing or consuming histories or tendencies.
- (iv) Geolocation data, such as your residential and/or business address, or mailing address.
- (v) Professional or employment-related information, such as your job title or employer.
- (vi) Inferences drawn from this information.
- (vii) Sensitive personal information, such as your social security, driver's license, state identification card, or passport number.

"Publicly available information", lawfully obtained, truthful information that is a matter of public concern, "de-identified" data and "aggregate" California resident information (as those terms are used in the CCPA) are not personal information for purposes of the CCPA. This California Privacy Notice does not apply to such information.

### Sources From Which We May Obtain Your Personal Information

We collect personal information from the following sources:

- (i) Your, your employer's, your designated representative's and/or other authorized person's correspondence, interactions and transactions with us, or our affiliates, delegates or others, including through account applications and other forms, from other written, electronic or verbal correspondence, from shareholder transactions, and/or from a shareholder's brokerage or financial advisory firm, financial professional or consultant.
- (ii) Information we receive from our service providers, such as the Funds' investment advisers or sub-advisers ("Advisers"), transfer agent, or other sources we may engage in connection with conducting due diligence, know-your-customer, anti-money laundering and other checks required to be performed in relation to admitting new shareholders.
- (iii) Information from government and other public databases.

<sup>1</sup> PIMCO Funds, PVIT, PIMCO ETF Trust, PES, PESVIT and PIMCO Managed Accounts Trust are referred to collectively as the "Trusts." The listed entities which are publicly-traded closed-end investment companies are known as the "Closed-End Funds", the listed entities which are closed-end investment companies operating as "interval" funds under Rule 23c-3 under the 1940 Act are known as the "Interval Funds", and the listed entities which are business development companies are known as the "BDCs." The Trusts, the Closed-End Funds, the Interval Funds and the BDCs are referred to collectively as the "Funds."

<sup>2</sup> PIMCO Investments LLC ("PI") serves as the Funds' distributor and does not provide brokerage services or any financial advice to investors in the Funds solely because it distributes the Funds. This Privacy Policy applies to the activities of PI to the extent that PI regularly effects or engages in transactions with or for a shareholder of a series of a Trust who is the record owner of such shares. For purposes of this Privacy Policy, references to "the Funds" shall include PI when acting in this capacity.

<sup>3</sup> When distributing this Policy, a Fund may combine the distribution with any similar distribution of its investment adviser's privacy policy. The distributed, combined, policy may be written in the first person (i.e. by using "we" instead of "the Funds").

## How We May Use Your personal information

We may collect, store and use your personal information for the following purposes:

- (i) To deliver the information, products and services you or your employer requested from us.
- (ii) To reach out to you about and market or promote new information to you or your employer.
- (iii) To communicate with you or your employer.
- (iv) To carry out our obligations and enforce our rights and obligations under a contract with you or your employer or to take steps at your request prior to entering into such a contract (e.g., to process an account application, reflect your employer's ownership of shares in the Funds, provide information you have requested, create and administer your employer's account, administer your employer's investments, maintain registers and communicate with you about your employer's investments).
- (v) In any other way we describe when you provide the information, or otherwise at your direction or with your or your employer's consent.
- (vi) As permitted by law or as we may notify you.
- (vii) Where it is necessary for the establishment, exercise or defense of legal claims.

## How We May Disclose Your Personal Information

We may disclose personal information to our affiliates and certain unaffiliated entities (including but not limited to your employer) in order to carry out and implement any and all purposes described above, and for the objects of the Funds, including:

- (i) To our service providers, affiliates and delegates, including the Advisers and transfer agent, that may act as service providers (the "Service Providers"), which may use personal information, for example, to provide their services to us, prepare and mail prospectuses, reports, account statements and other information, conduct research on shareholder satisfaction and gather shareholder proxies.
- (ii) To entities that help us market Fund shares or products which use Fund shares and enter into joint marketing arrangements with them and other companies. These companies may have access to your employer's account information.
- (iii) To your employer's brokerage or financial advisory firm and/or financial professional or consultant.
- (iv) To cooperate with regulators or law enforcement authorities, including in response to an inquiry or investigation from a regulator such as the California Attorney General or California Privacy Protection agency, to protect the Funds' rights and property, or upon reasonable request by any Fund in which a shareholder has invested.
- (v) As authorized by you, your employer or designated representatives of you or your employer or other authorized persons.
- (vi) With our affiliates in connection with servicing shareholders' accounts, and subject to applicable law you or your employer may be provided with information about products and services that the Funds or their Advisers, distributors or their affiliates ("Service Affiliates") believe may be of interest to such shareholders. The information disclosed may include, for example, a shareholder's participation in the Funds or in other investment programs sponsored by a Service Affiliate, a shareholder's ownership of certain types of accounts, information about the Funds' experiences or transactions with the shareholder, or other data about a shareholder's accounts, subject to applicable law.
- (vii) As required by law, regulation, or self-regulatory requirement, including to comply with a subpoena or similar legal process, including when we believe in good faith that disclosure is legally required.
- (viii) As necessary for the establishment, exercise or defense of legal claims, or where otherwise necessary to protect our rights and property.

We distribute your personal information to such entities in accordance with applicable law, rule and regulation.

## Data Retention

We will retain your personal information for as long as necessary to fulfil the purposes for which it was collected and processed, including for the purposes of satisfying any legal, regulatory, accounting or reporting requirements. To determine the appropriate retention period for your personal information, we will consider the amount, nature and sensitivity of the personal information, the potential risk from unauthorized use or disclosure, the purposes for which we process personal information and whether we can achieve those purposes through other means, and applicable legal requirements.

## California Privacy Rights

As a California resident, you may have certain rights in relation to your personal information.

### Right to Know

You may have the right to know how we have collected, used and disclosed your personal information over the last twelve months. Specifically, you may have the right to know:

- The categories of personal information we have collected about you.
- The categories of sources from which we have collected your personal information.
- The business or commercial purpose for which we collect, sell or share your personal information.
- The categories of third parties to whom we have disclosed your personal information.
- The categories of third parties to with whom we "share" your personal information for purposes of cross-context behavioral advertising, or to whom we sell your personal information.
- The categories of personal information that we have sold or shared about you and the categories of third parties to whom it was sold or shared
- The categories of personal information we have disclosed about you for a business purpose and the categories of persons to whom we have disclosed it

In addition, you may have the **right to know the specific pieces of personal information** we have collected about you. Subject to certain exceptions and limitations, you may request that we provide this information dating back to January 1, 2022.

### **Right to Make a Deletion Request**

You may have the right to request that we delete your personal information that we have collected or received. Subject to certain exceptions, we must delete your personal information and direct our service provider and contractors to do the same.

### **Right to Correct your Inaccurate Personal Information**

You may have the right to request that we correct any inaccurate personal information about you, taking into account the nature of the personal information and the purposes of the processing of the personal information.

### **Right to Opt-Out of Sales of your Personal Information**

If we were to "sell" your personal information as such term is defined in the CCPA, you would have the right to opt-out of the sale of your personal information. We do not sell your personal information for purposes of the CCPA.

### **Right to Opt-Out of Sharing of your Personal Information**

If we were to "share" your personal information for purposes of "cross-context behavioral advertising" as such terms are defined in the CCPA, you would have the right to opt-out of the sharing of your personal information. We do not share your personal information for cross-context behavioral advertising for purposes of the CCPA.

### **Right to Limit Use of your Sensitive Personal Information**

Subject to certain exceptions, you may have the right to limit our use and disclosure of your Sensitive personal information. We do not use or disclose your sensitive personal information in a manner that gives rise to this right.

### **Right to Non-Discrimination**

You have the right not to be discriminated against by us for choosing to exercise your rights under the CCPA.

### **Minors Under Age 16**

We do not have actual knowledge that we sell the personal information of minors under the age of 16, or share it for cross-context behavioral advertising, for purposes of the CCPA.

### **How to Exercise Your California Privacy Rights**

If you wish to exercise the rights noted above, please submit a request to us by contacting us at [AmericasPrivacy@pimco.com](mailto:AmericasPrivacy@pimco.com) or calling us at 866-746-2615.

### **Information for Authorized Agents**

You can authorize a person ("Authorized Agent") registered with the California Secretary of State to exercise your California privacy rights on your behalf. An Authorized Agent can also include a person who has power of attorney or is acting as a conservator. To submit a request to PIMCO on behalf of another person as an Authorized Agent, please submit a request to us by clicking [here](#), calling us at 866-746-2615 or contacting us at [AmericasPrivacy@pimco.com](mailto:AmericasPrivacy@pimco.com).

### **Verifying Your Requests**

We only respond to your requests to know how we have collected, used and disclosed your personal information, to access the specific pieces of personal information we have about you, or to delete and correct inaccurate personal information when those requests are "verifiable."

We may need to ask you for personal information to verify your request so we can match it to the personal information we already have about you. We may also need to obtain additional information about you that we do not already have. If you provide us with new personal information that we do not already have about you, we will use it solely for the purpose of verifying your request. We will let you know via email if we need more information from you to verify your request. Please reply to our requests promptly.

We will communicate with you about your requests via email. We will use the email address you provided when submitting your request.

If we cannot verify your identity, we will let you know.

### **Responding to Requests**

We aim to promptly verify and respond to your requests within 45 days of receipt but may require a total of up to 90 days to respond to your requests. If we require additional time beyond the initial 45 days after we receive your request, we will let you know within the first 45 days.

We do not ordinarily charge a fee for our response to your requests. However, we may do so to the extent your request(s) are excessive, repetitive, or manifestly unfounded. If we determine that charging a fee is warranted, we will let you know and will provide you with an estimate of the associated costs of responding to your request(s).

If we determine that we cannot or will not take the action that you requested, we will let you know. We will inform you of our reasons for not taking action and any rights you may have to appeal the decision.

Unless you tell us that you would like to receive a response via postal mail, we will respond to you via email regarding your requests to know and to access the specific pieces of personal information we have about you. We will contact you at the email address you provided when submitting your request(s). If you would like to receive responses to a request to know or access personal information via postal mail rather than email, please let us know when submitting your request(s).

### **Limitations**

The CCPA does not apply in full to all personal information we collect from California residents. Therefore, even if you are a California resident and submit a verifiable request, we may not be required to comply with your request.

We are only required to respond to certain requests twice in any twelve-month period. We are not required to provide you access to specific pieces of personal information more than twice in any twelve-month period. Similarly, we are not required to comply with your "requests to know" more than twice in any twelve-month period.

### **Changes to Our California Privacy Notice**

From time to time, we may update or revise this California Privacy Notice. If there are changes to the terms of this California Privacy Notice, documents containing the revised policy will be updated.

### **Contacting Us**

If you would like further information on the collection or use of your personal information, please submit questions, comments and requests by contacting us at [AmericasPrivacy@pimco.com](mailto:AmericasPrivacy@pimco.com).

Last Revised: January 2023

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